



Fact Sheet

New Jersey Bureau of Securities

Description

The Bureau of Securities within the New Jersey Office of the Attorney General is the State's securities regulatory agency. The Bureau administers the New Jersey Uniform Securities Law (the "Law") and the regulations thereunder (the "Regulations"). The Law and Regulations include registration, exemption filing, notice filing, and antifraud provisions. (Exemption filings and notice filings are required by the Law and Regulations, but do not constitute full registration.)

The Bureau regulates broker-dealers (brokerage firms), broker-dealer agents (stockbrokers), investment advisers, investment adviser representatives, agents of securities issuers, securities registrations, securities exemptions, mutual funds, and unit investment trusts. The Bureau participates in the Central Registration Depository, which is a national database of broker-dealer and broker-dealer agents, and the Investment Adviser Registration Depository, which is a national database of investment advisers and investment adviser representatives.

Investors can contact the Bureau to determine the registration, exemption filing, or notice filing status of regulated persons and entities. Investors can file complaints with the Bureau; the Bureau can assist with the resolution of investor complaints, but the Bureau cannot adjudicate such complaints.

The Bureau maintains a regulatory staff, which can issue no-action relief and interpretive guidance to regulated persons and entities. (No-action relief provides confirmation, that if a transaction is structured in a certain way, the Bureau will not take enforcement action.)

The Bureau maintains a field examination staff, which conducts routine and for-cause examinations of regulated persons and entities, and an investigative staff, which investigates possible violations of the Law and Regulations. The worldwide web is also monitored for violations of the Law and Regulations.

Educational Booklets Available Online

The following investor education booklets are available for free from the New Jersey Bureau of Securities in partnership with Kiplinger's Personal Finance magazine, the Investor Protection Trust and the American Library Association. We hope this information helps you to make informed investment decisions. Visit us at www.NJSecurities.gov to access this valuable resource.

- **Five Keys to Investing Success** – *There really aren't any investment secrets. The methods employed by successful investors are well known. This booklet presents a bird's-eye view of five keys used by successful investors.*
- **The Basics for Investing in Stocks** – *No other investment available holds as much potential as stocks over the long run. This booklet will give you the knowledge you need to begin investing in stocks.*
- **A Primer for Investing in Bonds** – *Bonds can be an important part of your investment portfolio. This booklet provides a primer for those interested in bonds. It will teach you what bonds are, how they work, the different types of bonds, and more.*
- **Getting Help With Your Investments** – *Even the most knowledgeable investor needs help from an investment professional sometimes, even if that professional just handles a stock purchase. This booklet provides the information you need to find and work with reputable brokers and financial advisers.*
- **Mutual Funds: Maybe All You'll Ever Need** – *For individual investors who don't have a lot of time or money to devote to investing, mutual funds offer advantages that simply aren't available anywhere else. This booklet provides an overview of what mutual funds are, how to choose them, the advantages of investing in them, and more.*
- **Where to Invest Your College Money** – *Once you have decided to put money aside for college, it is important to determine where to save or invest it. This booklet introduces different college investment and savings vehicles.*
- **Maximize Your Retirement Investments** – *Deciding where to invest your retirement money is one of the more difficult decisions you will make. This booklet gives you an overview of different investment options to help you maximize your retirement portfolio.*

Play Our Online Game

Try our interactive online game **AVOIDING INVESTOR SCAMS** by visiting www.NJSecurities.gov. See how well you do at trying not to be ripped off by shady advisers. Kids and adults alike will benefit from this entertaining and educational online experience.

Contact Information

Call For Free Background Information on Those Selling You Securities Contact the NJ Bureau of Securities

- **1-866-I-INVEST** (1-866-446-8378) free call - free information
- e-mail: askbureauofsecurities@lps.state.nj.us
- NJ Bureau of Securities, P.O. Box 47029, Newark, NJ 07101
- **Need a Speaker?** Call **1-973-504-3615** to inquire about having our knowledgeable speakers discuss investment fraud with your organization, free of charge.